



Attorney Docket 66,291-160 (ABB Ref. 8246)
Serial No. 08/973,305

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Leijon et al.

Serial No.: 08/973,305

Art Unit: 2834

Filed: 04/09/1998

Examiner: B. Mullins

For: HIGH VOLTAGE AC MACHINE WITH GROUNDED NEUTRAL
CIRCUIT

Docket No.: 66,291-160

ABB Ref: 8246

Assistant Commissioner for Patents
Washington, D.C. 20231

**SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
SUBMITTED WITHOUT COPIES OF INFORMATION
DISCLOSURE STATEMENT CITATIONS PURSUANT TO
DECISION ON PETITION UNDER 37 C.F.R. 1.183
SEEKING WAIVER OF REQUIREMENTS UNDER 37 C.F.R. 1.98**

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference listed on the attached PTO Form-1449, a second addendum to the previous PTO Forms-1449 filed in this application. A copy of the reference set forth on the attached addendum PTO Form-1449 has been filed with the Office on May 9, 2002 in accord with the terms of the Office's Decision on Petition (copy attached).

The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. See 37 C.F.R. §§ 1.104(a) and 1.106(b) concerning the PTO duty to consider and use any such information. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

CERTIFICATE OF MAILING

I hereby certify that this Second Supplemental Information Disclosure Statement is being deposited with the United States Postal Service as Express Mail Post Office to addressee, postage prepaid, addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on this 23 of September, 2002.

Express Mail Number: ET931275588US

Lori Tersigni

#29/2nd
SUPP. IDS
Hawkins
10/10/02

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TECHNOLOGY CENTER 2800

Pursuant to the Decision on Petition dated December 1, 1999, which was filed in U.S. Patent Application No. 09/147,325 (the holding application), the requirement for the submission of a copy of each Information Disclosure Statement citation is waived provided that the conditions set forth in paragraphs 1-8 (pages 8-10) of the Decision on Petition are met.

The following conditions set forth in the Decision on Petition are believed to have been met:

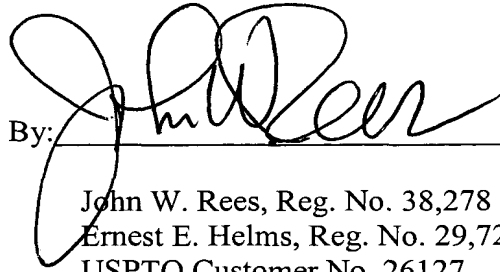
1. Three paper copies of each Information Disclosure Statement citation on the attached addendum PTO Form-1440 has been supplied to the U.S. Patent and Trademark Office (on May 9, 2002).
2. This application (the bulk filing application) for which the waiver is desired is related to the above-identified holding application, U.S. Patent Application No. 09/147,325.
3. The information herein has been cited in the above holding application.
4. A copy of the Decision on Petition granting the waiver is attached hereto.
5. At present, no explanatory information related to any particular citation has been submitted in the holding application except for transactions of foreign language references, if applicable.
6. As of the time of this filing, the Office has not terminated the waiver grant, nor has the Applicant terminated or withdrawn its assent to the waiver.
7. The holding application is co-pending herewith.
8. The paper copies of the references cited herein are believed to be contained (or will be contained) in a series of official digests established by the Office which is noted in the Decision on Petition.

Please consider and enter into the record the citations on the attached Form PTO-1449. Please charge any fees to Deposit Account No. 04-2223.

Respectfully submitted,

Date: September 23, 2002

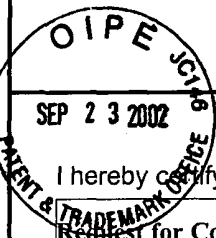
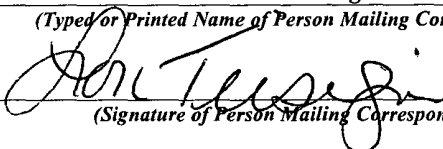
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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. 66,291-160
Applicant(s): Leijon, et al.			
Serial No. 08/973,305	Filing Date 04/09/98	Examiner B. Mullins	Group Art Unit 2834
Invention: HIGH VOLTAGE AC MACHINE WITH GROUNDED NEUTRAL CIRCUIT			
<div style="float: right; text-align: right;">RECEIVED SEP 27 2002 TECHNOLOGY CENTER 2834</div> <div style="float: left;"></div>			
I hereby certify that the following correspondence: Request for Continued Examination Transmittal, Petition for Suspension of Action, Second Supplemental Information Disclosure Statement Submitted Without Copies of of Information Disclosure Statement Citations, Preliminary Submission			
(Identify type of correspondence)			
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>September 23, 2002</u> (Date)			
Lori Tersigni (Typed or Printed Name of Person Mailing Correspondence)			
 (Signature of Person Mailing Correspondence)			
ET931275588US ("Express Mail" Mailing Label Number)			

Note: Each paper must have its own certificate of mailing.



Application Number	08/973,305
Filing Date	04/09/98
First Named Inventor	LEIJON ET AL
Art Unit	2834
Examiner Name	B. MULLINS
Attorney Docket Number	66,291-160

Examiner Initials[*]	Cite No.[†]	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code² <i>(if known)</i>			
		US-				
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Examiner Signature		Date Considered	
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Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

TJH
12/3/99



DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

Response to Decision
2-1-00

Paper No. 11

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Oblon Spivak McClelland Maier & Neustadt
1755 Jefferson Davis Highway
Fourth Floor
Arlington VA 22202

DEC 01 1999

SPECIAL PROGRAMS OFFICE
OAC FOR PATENTS

In re Application of
Mats Leijon, et al
Application No. 09/147,325
Filed: February 17, 1999
Attorney Docket No. 9847-0001-
6X

: RESPONSE TO PETITION UNDER
: 37 CFR 1.182 SEEKING SPECIAL
: TREATMENT RELATING TO AN
: ELECTRONIC SEARCH TOOL, AND
: DECISION ON PETITION UNDER
: 37 CFR 1.183 SEEKING WAIVER
: OF REQUIREMENTS UNDER 37 CFR
: 1.98

This is a response to a September 29, 1999 Petition Under 37 CFR 1.182, requesting relief from the current requirements for Information Disclosure Statements under 37 CFR 1.98 in view of the need to file multiple applications relating to different aspects of a particular invention. The petition will be treated as two separate petitions: a first petition under 37 CFR 1.182, relating to submission of an electronic search tool and the need to protect proprietary information therein, and a second petition under 37 CFR 1.183, requesting relief from the § 1.98 provision which requires filing paper copies of references being cited in each of many related applications.

A Decision on the petition under 37 CFR 1.182 re the electronic search tool will be issued in due course.

The petition under 37 CFR 1.183 re the submission of 3 paper copies of IDS citations in a holding application is Granted to the extent set forth below.

The Decision is set forth in five parts:

- Part I. Background
- Part II. Petition Under 37 CFR 1.182 - Electronic Search Tool
- Part III. Petition Under 37 CFR 1.183 - Paper Copies

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OBLON, SPIVAK, MCCLELLAND,
MAIER & NEUSTADT PC

- Part IV. Summary
- Part V. Further Correspondence

Part I. Background

The instant national stage application filed under 35 U.S.C. 371 currently contains claims 77-153 with three independent claims. The instant application is one of about 200 U.S. applications (either filed or to be filed) with each U.S. application having as many as 40 corresponding foreign applications (either filed or to be filed), the applications relating to different aspects of the invention. An Information Disclosure Citation List has been submitted that lists 259 U.S. patents, 369 foreign patent documents, and 43 other references for a total of 671 citations. Additionally, a list of related cases has been supplied containing 31 U.S. applications and 52 PCT applications. Paper copies have not been supplied in the related applications of any of the citations or the identified related cases.

37 CFR 1.56(b)(1) requires disclosure to the Office of information that "establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim...." Such disclosure can be made by an Information Disclosure Statement (IDS) in the manner prescribed by 37 CFR 1.97 and 1.98. 37 CFR 1.56(a).

Petitioner asks "[w]hether the information cited in the manner proposed in [petition] Section 3.1.1 ... is a disclosure that is sufficient to meet the requirements of 37 CFR § 1.56." To the extent that this question refers to the content of the disclosure and the particulars of the subject applications, the Office will not answer the question. It is Office practice not to attempt to define how an individual "ensures" compliance with the rule in a particular application. See, e.g., MPEP 2004. Because determinations on this issue require an evaluation of the intent of the party involved, the Office declines to investigate the question. See MPEP 2010. To the extent that Petitioner's question concerns the form in which the disclosure is provided, rule 56 permits a disclosure in a combination of paper and electronic formats.

Petitioner, in addition to meeting the duty set forth in 37 CFR 1.56 to disclose material information, also wishes to disclose to the Office information that may not meet the definition of

materiality as set forth in the rule¹. Information identified by U.S. or foreign examiners in any of the related U.S. and foreign applications would be cited in each of the related U.S. applications.² In addition, Petitioner seeks to submit other information in each of the related U.S. applications, such as all the co-pending U.S. applications that relate to the invention (useful for determining possible double patenting rejections), and foreign search reports. Petition, page 4.

Rather than be required to submit, via a paper copy, each piece of information in each application each time the information is obtained, Petitioner seeks to have:

- (1)(a) one application (the instant application) identified as a "holding" application which would contain a complete set of paper copies of references; the paper copies to be submitted in only the "holding" application;
- (b) the other related pending U.S. applications, hereafter referred to as the bulk filing applications, will not contain the paper set of reference copies but will contain other information, e.g., a copy of the decision on petition³ permitting such procedure and a copy of the Form 1449 (or equivalent);⁴ and
- (2) an "electronic search tool"⁵ containing different types of information.

The information supplied via the paper copies would be updated monthly, rather than as received from U.S. and foreign examiners, and cancellation of this arrangement would be an option for both.

¹Reference to MPEP 2001.05, Petition, page 3.

²Petition, page 3. The present petition requesting relief does not set forth any commitment nor intent by applicant to screen such information for relevancy to each of the U.S. applications in which the information is being cited.

³The original of which would be in the instant holding application.

⁴See, Petition under 37 CFR 1.132, *infra*.

⁵See, Petition under 37 CFR 1.133, *infra*.

Petitioner and the Office upon notice. These, and other more specific conditions, are discussed in further detail in regard to the § 1.182 petition, below.

Petitioner has essentially requested relief in two areas: (1) treatment of information in an electronic search tool, to be submitted independent of any particular application, as in compliance with IDS submission requirements for all bulk filing applications, and (2) the ability to provide the paper copies of each reference in an IDS submission in only one of the bulk filing applications (the instant holding application) as well as two additional sets of copies rather than as is normally required in each application for which the reference (IDS citation) is to be considered. These two areas of relief are independent of each other and drawn toward different regulations. Accordingly, the petition has been treated as two petitions, and the present decision addresses the two areas of requested relief separately. While it is undeniable that relief in both areas would be of benefit to Petitioner, the granting of relief in one area does not, in fact, require the granting of relief in the other. Moreover, in view of the need to further consider the requested relief related to the electronic search tool, deciding the requested relief issues separately permits at this time a partial grant of the original petition.⁶

Part II. Petition under 37 CFR 1.182- Electronic Search Tool

The issues involving the electronic search tool are more extensive than those relating to the requirement for paper copies in each bulk filing application and more time is needed to fully consider and address them. Accordingly, the petition under § 1.182 shall not be decided at this time and is not treated in the instant decision on the § 1.183 petition although it will continue to be considered, with a decision rendered in due course.

It is recognized that petitioner believes the issues presented by the petition may not be decided independent of one another as both the paper copy issue and the electronic search tool issue represent the most complete solution to duty of disclosure issues under 37 CFR 1.56, Petition, fn. 5.

Part III. Petition Under 37 CFR 1.183 - Paper Copies

The submitted petition fee of \$130 will be treated as the \$ 1.183 petition fee.

37 CFR 1.98 requires that any information disclosure statement provide a copy of all patents, publications or other information submitted under 37 CFR 1.97 for consideration by the Office. 37 CFR 1.97 notes that information disclosure statements are considered in regard to the application in which they are filed. See also MPEP 609, page 600-102, right-hand column, and page 600-103, left-hand column.

Paper copies: Petitioner notes that the instant application is one of 200 bulk filing applications that will be or have been filed in regard to a particular technology. Accordingly, Petitioner requests that individual paper copies of each reference, brought to the attention of the Office in regard to any one individual application, not be required to be submitted in each such application. Rather, it is requested that three complete sets of paper copies be permitted to be filed: one set for the instant application which will be designated as a holding application; one set to be used to establish new subclasses for the technology; and one set to be used as a reference set should either or both of the other two sets become corrupted (Petition, pages 6 and 7).¹

Once past the initial IDS submission, it is proposed that applicant would update the IDS submissions once a month, rather than every time a new reference is found, although the time frames required by § 1.97 would have to be complied with, which may mean that submissions may occur more frequently than once a month.

Form 1449: In addition to submission of the three sets of paper copies in the instant "holding" application, the petition proposes that each of the bulk filing applications would receive a Form 1449 listing the reference citations (Petition, page 7) and the Form 1449 (in each of the bulk filing applications) would be updated, pursuant to the time requirements of § 1.97, each time the three sets of paper copies are updated. The petition is

¹It would presumably up to the Technology Center to determine how best to store the reference set and how it is to be accessed.

silent as to whether other types of information that may be submitted in the holding application IDS, e.g., concise explanations of foreign language documents under § 1.98(a)(3), would also be supplied in all the bulk filing applications.

Suspension of action: In view of the use of the instant application as a holding application (to contain a complete set of paper copies of reference citations, which can be consulted by the examiner when examining any of the other bulk filing applications that have a Form 1449 but not the paper copies), the petition states that upon allowance of the instant holding application the right is reserved to file a petition to suspend action in the instant application so that the application can remain as the holding application (Petition, page 7). Alternatively, upon agreement of the Assignee and a Director of the Technology Center involved, an alternate application may be designated as the holding application.

New subclasses: The petition envisions an affirmative duty on the Technology Center to establish new subclasses that will include each of the references submitted during the course of prosecution of the bulk filing applications.³ In addition, the Office is to agree that "[e]xaminers will be required to search these newly created subclasses" (from submissions by the Assignee and later by others) "as part of the routine patent prosecution process." Petition, page 8.

Termination: Petitioner seeks a right of termination,³ which is to be a mutual option. Termination is to be by written notice, to the attorney of record if the Office terminates and the filing of a termination request and by contacting the Director of TC 2800 if applicant terminates. Conventional IDS procedures would begin three months after notice of termination.

³The new subclasses will later be supplemented by references supplied by others who may file applications related to the same technology.

³Although termination is discussed under a section related to licensing of the electronic search tool and the petition generally (Petition, pages 10 and 11), it is presumed that Petitioner intends to have the termination provision apply to the waiver of paper copies if that alone is granted.

37 CFR 1.183 provides relief for extraordinary situations, when justice requires suspension of any requirement of the regulations which is not a requirement of the statutes. The instant petition urges that not only would applicant be spared the necessity of submitting duplicative paper copies of references in 200 applications, but also the Office would benefit from not having to handle and store the duplicative sets of copies. While there may be some negative effects from the Office's point of view in terms of making the copies available to different examiners handling the various applications,¹⁰ on balance, there is seen to be sufficient benefit to justify waiver in this instance.

Accordingly, the petition under 37 CFR 1.183 is granted to the extent indicated and under the terms and conditions as are set forth below.¹¹

¹⁰Even though the technology of the applications may be related, the specific claims of the applications may require different classifications of the applications and the quantity of applications would dictate the need for more than one examiner to timely examine the applications.

¹¹The waiver being granted in this instance is not intended to set a general precedent where there is more than one application containing related subject matter. The Office, however, intends to use the instant grant to study whether the opportunity for waiver can be extended to other applicants in similar circumstances, and whether a more general program can be announced. One factor that will be considered is the extent to which relevant information (that may not be necessarily required by § 1.56(b) but which would nonetheless be useful to the examiner, e.g., § 1.56(a)(1) and (2)), is submitted rather than huge dumps of nonrelevant or marginally relevant information.

It is noted that while the petition only refers to the submission of citations that are made by both U.S. and foreign examiners, the term "include" is used (Petition, page 2) which is open ended. The Petition states that it is the intention to submit a copy of every reference identified both by U.S. examiners in the 200 U.S. applications and by foreign examiners in as many as 40 corresponding foreign applications for each U.S. application (Petition, page 3). It has not been stated whether the current 671 reference citations currently of record represent only those citations made by U.S. and foreign examiners or whether they include citations from other sources, such as a

The § 1.98(a)(2) requirement for (the submission of) a copy of each IDS citation in a bulk filing application will be waived in the bulk filing application provided that the following 8 conditions are complied with:

- 1) Three paper copies of each IDS citation are or have been submitted to the Office;
- 2) The (bulk filing) application for which waiver of § 1.98(a)(2) is desired refers to the instant holding application, such as by a claim of priority under 35 U.S.C. 120, or as containing related technology;
- 3) The information is or has also been cited in the holding application;

Note: Applicant is not required to cite in each bulk filing application every item of information that is cited in the instant holding application. Items should be cited in each bulk filing application on the basis of relevancy and materiality to the particular claims in the bulk filing application and what each piece of information teaches.

A waiver is not granted (for the requirement to supply a paper copy of an IDS citation in another bulk filing application) where the citation is not, or has not been, made in the instant holding application.

- 4) A copy of this Decision is filed in the bulk filing application;
- 5) Explanatory information related to a particular citation, such as the concise explanation of a foreign language reference under § 1.98(a)(2), once submitted in the holding application must be supplied in each bulk filing application where the citation is made.
- 6) The Office accepts and specifically reserves the right to terminate the waiver grant in regard to § 1.98(a)(2) without provision of reasons. In such event, a two month period will be given where paper copies would

preexamination search or third party citations. See also Petition, page 19.

have to be supplied in all applications where new citations are made. Should a termination of the waiver be desired by the Office, the Office will provide written notice to the correspondence address of record. Termination by applicant may be by returning to compliance with § 1.98(a)(2) without formal notice thereof and no transition/continuing period after termination is required.

- 7) The grant of the § 1.183 petition re § 1.98(a)(2) does not indicate that the Office would favorably treat a petition to suspend action under § 1.103(a) should the instant application be allowed. Issuance of the instant application as a patent is not seen to terminate its usefulness either: (1) as a holding application for references by examiners working on other related applications,¹² or (2) as a vehicle for the storage of references to be cited even after the patent issues (35 U.S.C. 301, 37 CFR 1.501, and MPEP 2202). Should the instant application become abandoned, the issue of continued introduction of paper copies of new citations could be taken up at that time. The Office, however, may consider suspending or taking other appropriate action in the instant holding application in the event the holding application is allowed, if it is in the best interest of the Office to do so.
- 8) The Office has established a series of Official Digests in Class 174 based on the technology represented by the instant invention (a classification schedule thereof is attached). As is the case with all Digests, their usefulness will be continually evaluated. The Office will place the holding application's references in the Digests as they are determined to require such placement and as new ones are brought to the attention of the Office either by Petitioner or a third party. A search of the Digests themselves or what they contain (such as the holding application or reference copy sets), either in paper copy or electronic form, will be

¹²The patent file can be kept in the Technology Center for easy reference, or rather than rely upon the patent, either the reference set of paper copies could be utilized, or the Office may decide to rely on the Digests being created.

conducted when mandatory based on the classification of the claims, or when deemed advisable - on a case by case basis.

Part IV. Summary

A Decision on the Petition under 37 CFR 1.182, drawn toward submission of the electronic search tool, will be acted upon in due course when all outstanding issues are resolved.

The petition under 37 CFR 1.163 agreeing to supply three copies of each IDS citation in a holding application and requesting waiver of the paper copy requirement for submission in every related application under § 1.98(a)(2) is granted, however, the following is not agreed to:

- the grant of a future petition under 37 CFR 1.103 for suspension from publication of the holding application should it be allowed,
- the required search of subclasses from one of the three sets of paper copies and placement of one of the other sets of paper copies therein, and
- any termination provision more than two months (rather than the three months that the petition sets forth) from notice of termination.

Part V. Further Correspondence

Further correspondence with respect to this matter should be addressed to Hiram H. Bernstein, Senior Legal Advisor, Special Program Law Office, as follows:

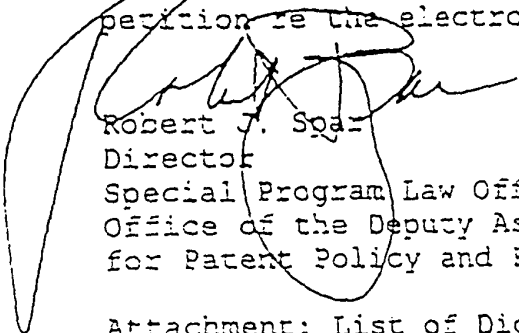
By mail: Commissioner of Patents and Trademarks
Box DAC
Washington, D.C. 20231

By FAX: (703) 308-6916
Attn: Special Program Law Office

By hand: Special Program Law Office
Crystal Plaza Four, Suite 3C23
2201 South Clark Place
Arlington, VA 22202

Telephone inquiries specific to this matter should be directed to Mr. Bernstein at (703) 305-9285.

The instant application will be retained by this Office: for a period of TWO MONTHS to await any response to the instant Decision, and for the purpose of continuing review of the \$ 1.182 petition re the electronic search tool.



Robert J. Soar
Director
Special Program Law Office
Office of the Deputy Assistant Commissioner
for Patent Policy and Projects

Attachment: List of Digests 13-33

- Digest 13 HIGH VOLTAGE CABLE (E.G., ABOVE 10KV, CORONA PREVENTION, ETC.)
Digest 14 . Having a particular cable application (e.g., winding, etc.)
Digest 15 .. In a power generation system (e.g., prime-mover dynamo, generator system, etc.)
Digest 16 .. In a motive power system (e.g., electric motor control system, etc.)
Digest 17 .. In an electric power conversion, regulation, or protection system
Digest 18 .. In a power distribution network
Digest 19 .. In a dynamo-electric machine
Digest 20 ... Stator
Digest 21 ... Rotor
Digest 22 ... Winding, per se
Digest 23 .. In a circuit breaker, relay, or switch
Digest 24 .. In an inductive device (e.g., reactor, electromagnet, etc.)
Digest 25 ... Transformer
Digest 26 . Having a plural-layer insulation system
Digest 27 .. Including a semiconductive layer
Digest 28 ... Plural semiconductive layers
Digest 29 . Having a semiconductive layer
Digest 30 . Having insulation with a particular dimension or geometry
Digest 31 . Having a shield or metallic layer
Digest 32 . Having means for cooling
Digest 33 . Method of cable manufacture, assembly, repair, or splicing

INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-
(Corrected Listing of Originals)

Docket Number

Application Number

Applicant(s):

Filing Date:

Group Art Unit

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	1	US1304451	5/20/19	L. H. Burnham			
	2	US1418856	6/2/22	Robert B. Williamson			
	3	US1481585	1/22/24	James Robert Beard			
	4	US1728915	9/24/29	E. P. Blankenship et al			
	5	US1742985	1/7/30	L. H. Burnham			
	6	US1747507	2/18/30	Robert B. George			
	7	US1756672	4/29/30	John M. Barr			
	8	US1762775	6/10/30	Albert G. Ganz			
	9	US1781308	11/11/30	Mauritz Vos			
	10	US1861182	5/31/32	F. Hendey et al			
	11	US1974406	9/25/34	Vincent G. Apple et al			
	12	US2006170	6/25/35	Gustaf A. Juhlin			
	13	US2206856	7/2/40	W. E. Shearer			
	14	US2217430	10/8/40	R. A. Baudry			
	15	US2241832	5/13/41	H.W. Wahlquist			
	16	US2251291	3/5/41	L. O. Reichelt			
	17	US2256897	9/23/41	W. F. Davidson et al			
	18	US2295415	9/8/42	G.R. Monroe			
	19	US2415652	2/11/47	R. B. Norton			
	20	US2424443	7/22/47	B. C. Evans			
	21	US2436306	2/17/48	J. S. Johnson			
	22	US2446999	8/17/48	G. Camilli			
	23	US2459322	1/18/49	G. T. Johnston			
	24	US2462651	2/22/49	H. W. Lord			
	25	US2498238	2/21/50	L. J. Berberich et al			
	26	US2721905	10/25/55	D. J. Monroe			
	27	US2780771	2/5/57	B. Lee			
	28	US2846599	8/5/58	H. H. McAdam			
	29	US2885581	5/5/59	P. T. Pileggi			
	30	US2943242	6/28/60	E. Schaschl et al			
	31	US2947957	8/2/60	J. C. Spindler			
	32	US2959699	11/8/60	J. W. Smith et al			
	33	US2962679	11/29/60	J. L. Stratton			
	34	US2975309	3/14/61	M. Seidner			
	35	US3098893	7/23/63	R. A. Pringle et al			
	36	US3130335	4/21/64	L. J. Rejda			
	37	US3143269	8/4/64	J. Van Eldik			
	38	US3157806	11/17/64	E. Wiedemann			
	39	US3158770	11/24/64	A. D. Coggeshall et al			
	40	US3268766	8/23/66	S. E. Amos			
	41	US3304599	2/21/67	R. W. Nordin			
	42	US3354331	11/21/67	H. L. Broeker et al			
	43	US3365657	1/23/68	James Webb			
	44	US3372283	5/5/68	A. A. Jaecklin			

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45	US3418530	11/24/68	W. H. Cheever			
46	US3435262	3/25/69	R. B. Bennett et al			
47	US3437858	4/8/69	R. B. White			
48	US3444407	5/13/69	E. S. Yates			
49	US3447002	5/27/69	C. Ronnevig			
50	US3484690	12/16/69	H. Wald			
51	US3560777	2/2/71	W. Moeller			
52	US3593123	7/13/71	A. C. Williamson			
53	US3631519	12/28/71	H. Salahshourian			
54	US3644662	2/22/72	H. Salahshourian			
55	US3651402	3/21/72	P. H. Leffmann			
56	US3670192	6/13/72	A. A. Andersson et al			
57	US3675056	7/14/72	H. G. Lenz			
58	US3684821	8/15/72	M. Miyauchi et al			
59	US3716652	2/13/73	G. E. Lusk et al			
60	US3716719	2/13/73	H. W. Angelery et al			
61	US3727085	4/10/73	P. B. Goetz et al			
62	US3740600	6/19/73	B. Turley			
63	US3746954	7/17/73	A. Myles et al			
64	US3758699	9/11/73	G. Lusk et al			
65	US3778891	12/18/73	R. Amasino et al			
66	US3781739	12/25/73	L. Meyer			
67	US3792399	2/17/74	W. McLyman			
68	US3801843	4/2/74	J. Corman et al			
69	US3809933	5/7/74	H. Sugawara et al			
70	US3881647	5/6/75	B. Wolfe			
71	US3884154	5/20/75	F. Marten			
72	US3891880	6/24/75	H. Britsch			
73	US3902000	8/26/75	E. Forsyth et al			
74	US3932779	1/13/76	A. Madsen			
75	US3932791	1/13/76	J. Oswald			
76	US3943392	3/9/76	J. Keuper et al			
77	US3947278	3/30/76	K. Youtsey			
78	US3965408	6/22/76	H. Higuchi et al			
79	US3968388	7/6/76	D. Lambrecht et al			
80	US3971543	7/27/76	W. Shanahan			
81	US3974314	8/10/76	H. Fuchs			
82	US3995785	12/7/76	R. Arick et al			
83	US4001616	1/14/77	P. Lonseth et al			
84	US4008409	2/15/77	R. Rhudy et al			
85	US4031310	6/21/77	L. Jachimowicz			
86	US4039740	8/2/77	Z. Iwata			
87	US4041431	8/9/77	G. Enoksen			
88	US4047138	9/6/77	R. Steigerwald			
89	US4064410	12/20/77	R. Peterson			
90	US4084307	4/18/78	G. Schultz et al			
91	US4085347	4/18/78	K. Lichius			
92	US4088953	5/9/78	S. Sarian			
93	US4091138	5/23/78	Takagi et al			
94	US4091139	5/23/78	J. Quirk			
95	US4099227	7/14/78	J. Liptak			

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96	US4103075	7/25/78	E. Adam
97	US4106069	8/8/78	J. Trautner et al
98	US4107092	8/15/78	R. Carnahan et al
99	US4109098	8/22/78	M. Olsson et al
100	US4121148	10/17/78	H. Platzer
101	US4134036	11/9/79	G. Curtiss
102	US4134055	11/9/79	M. Akamatsu
103	US4134146	11/9/79	E. Stetson
104	US4149101	4/10/79	A. Lesokhin et al
105	US4152615	5/1/79	R. Calfo et al
106	US4160193	7/3/79	A. Richmond
107	US4164672	8/14/79	C. Flick
108	US4164772	8/14/79	N. Hingorani
109	US4177397	12/4/79	John Lill
110	US4177418	12/4/79	K. Brueckner et al
111	US4184186	1/15/80	P. Barkan
112	US4200817	4/29/80	T. Bratoljic
113	US4200818	4/29/80	C. Ruffing et al
114	US4206434	6/3/80	A. Hase
115	US4207427	6/10/80	G. Beretta et al
116	US4207482	6/10/80	C. Neumeyer et al
117	US4208597	6/17/80	A. Mulach et al
118	US4229721	10/21/80	M. Koloczec et al
119	US4238339	12/9/80	G. Khutoretsky et al
120	US4239999	12/16/80	A. Vinokurov et al
121	US4245182	1/13/81	H. Aotsu et al
122	US4246694	1/27/81	H-G Raschbichler et al
123	US4255684	3/10/81	W. Mischler et al
124	US4258280	3/24/81	M. Starcevic
125	US4262209	4/14/81	C. Berner
126	US4274027	6/16/81	S. Higuchi et al
127	US4281264	7/28/81	T. Keim et al
128	US4307311	12/22/81	A. Grozinger
129	US4308476	12/29/81	R. Schuler
130	US4308575	12/29/81	A. Mase
131	US4310966	1/19/82	O. Brietenbach
132	US4317001	2/23/82	D. Silver et al
133	US4320645	3/23/82	L. Stanley
134	US4321518	3/23/82	M. Akamatsu
135	US4330726	5/18/82	D. Albright et al
136	US4337922	7/6/82	M. Streiff et al
137	US4341989	7/27/82	T. Sandberg et al
138	US4347449	8/31/82	J. F. Beau
139	US4347454	8/31/82	K. Gellert et al
140	US4363612	10/12/82	R. Meyers
141	US4357542	11/2/82	H. Kirschbaum
142	US4360748	11/23/82	H-G Raschbichler et al
143	US4367425	1/4/83	M. Mendelsohn et al
144	US4368418	1/11/83	F. P. Demello et al
145	US4369389	1/18/83	D. Lambrecht
146	US4371745	2/1/83	M. Sakashita

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147	US4387316	6/7/83	J. Katsekas
148	US4403163	9/6/83	Rarmerding et al
149	US4404486	9/13/83	T. Keim et al
150	US4411710	10/25/83	M. Mochizuki et al
151	US4421284	12/20/83	A. Pan
152	US4425521	1/10/84	G. Rosenberry, Jr. et al
153	US4426771	1/24/84	D. Wang et al
154	US4429244	1/31/84	P. Nikiten et al
155	US4431960	2/14/84	O. Zucker
156	US4443725	4/17/84	S. Derderian et al
157	US4470884	9/11/84	D. Carr
158	US4473765	9/25/84	T. Butman, Jr. et al
159	US4475075	10/2/84	R. Munn
160	US4477690	10/16/84	P. Nikitin et al
161	US4481438	11/6/84	T. Keim
162	US4488079	12/11/84	G. Dailey et al
163	US4503284	3/5/85	M. Minnick et al
164	US4510077	4/9/85	R. Elton
165	US4517471	5/14/85	K. Sachs
166	US4523249	6/11/85	S. Arimoto
167	US4538131	8/27/85	M. Baier et al
168	US4546210	10/8/85	Y. Akiba et al
169	US4551780	11/5/85	M. Canay
170	US4557038	12/10/85	M. Wcislo et al
171	US4560896	12/24/85	G. Vogt et al
172	US4565929	1/21/86	J. Baskin et al
173	US4588916	5/13/86	R. Lis
174	US4590416	5/20/86	M. Porche et al
175	US4594630	6/10/86	M. Rabinowitz et al
176	US4607183	8/19/86	J. Rieber et al
177	US4615109	10/7/86	M. Wcislo et al
178	US4618795	10/21/86	G. Cooper et al
179	US4619040	10/28/86	D. Wang et al
180	US4633109	12/30/86	J. Feigel
181	US4650924	3/17/87	J. Kauffman et al
182	US4656379	4/7/87	F. McCarty
183	US4677328	6/30/87	K. Kumakura
184	US4687882	8/18/87	G. Stone et al
185	US4692731	9/8/87	H. Osinga
186	US4723104	2/22/88	F. Rohatyn
187	US4737704	4/12/88	S. Kalinnikov et al
188	US4745314	5/17/88	J. Nakano
189	US4766365	8/23/88	L. Bolduc et al
190	US4785138	11/15/88	O. Brietenbach et al
191	US4795933	1/3/89	K. Sakai
192	US4827172	5/2/89	K. Kobayashi
193	US4845308	7/4/89	E. Womack, Jr. et al
194	US4847747	7/11/89	A. Abbondanti
195	US4853565	8/1/89	R. Elton et al
196	US4859810	8/22/89	R. Cloetens et al
197	US4860430	8/29/89	H. Raschbichler et al

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198	US4864266	9/5/89	L. Feather et al
199	US4883230	11/28/89	L. Lindstrom
200	US4894284	11/16/90	S. Yamanouchi et al
201	US4914386	4/3/90	S. Zocholl
202	US4918347	4/17/90	Y. Takaba
203	US4918835	4/24/90	H. Wcislo et al
204	US4924342	5/8/90	R. Lee
205	US4926079	5/15/90	P. Niemela et al
206	US4942326	7/17/90	J. Butler, III et al
207	US4949001	8/14/90	S. Campbell
208	US4994952	2/19/91	D. Silva et al
209	US4997995	3/5/91	M. Simmons et al
210	US5012125	4/30/91	D. Conway
211	US5036165	7/30/91	R. Elton et al
212	US5036238	7/30/91	M. Tajima
213	US5066881	11/19/91	R. Elton et al
214	US5067046	11/19/91	R. Elton et al
215	US5083360	1/28/92	M. Valencic et al
216	US5086246	2/4/92	J. Dymond et al
217	US5094703	3/10/92	M. Takaoka et al
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219	US5097591	3/24/92	M. Wcislo et al
220	US5111095	5/5/92	J. Hendershot
221	US5124607	6/23/92	J. Rieber et al
222	US5136459	8/4/92	D. Fararooy
223	US5140290	8/18/92	H. Dersch
224	US5153460	10/6/92	L. Bovino et al
225	US5168662	12/8/92	K. Nakamura et al
226	US5187428	2/16/93	R. Hutchison et al
227	US5235488	8/10/93	S. Koch
228	US5246783	9/21/93	L. Spenadel et al
229	US5264778	11/23/93	D. Kimmel et al
230	US5304883	4/19/93	J. Denk
231	US5305961	4/26/93	A. Errard et al
232	US5321308	6/14/93	A. Johncock
233	US5323330	6/21/93	G. Asplund et al
234	US5325008	6/28/94	J. Grant
235	US5327637	7/12/94	O. Britenbach et al
236	US5341281	8/23/94	G. Skibinski
237	US5343139	8/30/94	L. Gyugyi et al
238	US5355046	10/11/94	K. Weigelt
239	US5365132	11/15/94	J. Hann et al
240	US5387890	2/7/95	P. Estop et al
241	US5397513	3/14/95	C. Steketee, Jr.
242	US5400005	3/21/95	H. Bobry
243	US5452170	9/19/95	S. Ohde et al
244	US5468916	11/21/95	M. Litenas et al
245	US5500632	3/19/96	J. Halser, III
246	US5510942	4/23/96	L. Bock et al
247	US5530307	6/25/96	G. Horst
248	US5545853	8/13/96	N. Hildreth

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249	US5550410	8/27/96	C. Titus			
250	US5583387	12/10/96	M. Takeuchi et al			
251	US5587126	12/24/96	C. Steketee, Jr.			
252	US5598137	1/28/97	F. Alber et al			
253	US5607320	3/4/97	J. Wright			
254	US5612510	3/18/97	N. Hildreth			
255	US5663605	9/2/97	P. Evans et al			
256	US5672926	9/30/97	J. Brandes et al			
257	US5689223	11/18/97	A Demarmels et al			
258	US5807447	9/15/98	J. Forrest			
259	US681800	9/3/01	O. Lasche			
Subtotal:	259					

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	1	AT399790	7/25/95	Austria		
	2	BE565063	2/23/57	Belgium		
	3	CH391071	4/30/65	Switzerland		
	4	CH534448	2/28/73	Switzerland		
	5	CH539328	7/4/73	Switzerland		
	6	CH657482	8/29/86	Switzerland		
	7	DD137164	8/15/79	Germany DDR		
	8	DD138840	11/21/79	Germany DDR		
	9	DE1638176	6/24/71	Germany		
	10	DE1807391	5/27/70	Germany		
	11	DE2050674	5/19/71	Germany		
	12	DE2155371	5/17/73	Germany		
	13	DE2400698	7/10/75	Germany		
	14	DE2520511	11/18/76	Germany		
	15	DE2656389	6/15/78	Germany		
	16	DE2721905	11/23/78	Germany		
	17	DE277012	7/25/14	Germany		
	18	DE19547229	6/19/97	Germany		
	19	DE2824951	12/20/79	Germany		
	20	DE2835386	2/21/80	Germany		
	21	DE2839517	3/27/80	Germany		
	22	DE2854520	6/26/80	Germany		
	23	DE2913697	10/16/80	Germany		
	24	DE2917717	8/20/87	Germany		
	25	DE2920478	12/4/80	Germany		
	26	DE2939004	4/9/81	Germany		
	27	DE3006382	8/27/81	Germany		
	28	DE3008818	9/10/81	Germany		
	29	DE3009102	9/25/80	Germany		
	30	DE3028777	3/26/81	Germany		
	31	DE3305225	8/16/84	Germany		
	32	DE3309051	9/20/84	Germany		
	33	DE336418	6/23/20	Germany		
	34	DE3441311	5/15/86	Germany		

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35	DE3543106	6/11/87	Germany
36	DE3612112	10/15/87	Germany
37	DE372390	3/27/23	Germany
38	DE3726346	2/16/89	Germany
39	DE387973	1/9/24	Germany
40	DE4022476	1/16/92	Germany
41	DE4023903	11/7/91	Germany
42	DE40414	8/15/1887	Germany
43	DE4233558	3/31/94	Germany
44	DE425551	2/20/26	Germany
45	DE426793	3/18/26	Germany
46	DE432169	7/26/26	Germany
47	DE433749	9/7/26	Germany
48	DE435608	10/18/26	Germany
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51	DE4412761	10/26/95	Germany
52	DE441717	3/11/27	Germany
53	DE4420322	12/14/95	Germany
54	DE443011	4/13/27	Germany
55	DE460124	5/22/28	Germany
56	DE482506	9/14/29	Germany
57	DE501181	7/3/30	Germany
58	DE523047	4/18/31	Germany
59	DE568508	1/20/33	Germany
60	DE572030	3/9/33	Germany
61	DE584639	9/27/33	Germany
62	DE586121	10/18/33	Germany
63	DE604972	11/6/34	Germany
64	DE629301	4/27/36	Germany
65	DE673545	3/24/39	Germany
66	DE719009	3/26/42	Germany
67	DE846583	8/14/52	Germany
68	DE875227	4/30/53	Germany
69	EP0120154	10/3/84	European
70	EP0130124	1/2/85	European
71	EP0142813	5/29/85	European
72	EP0155405	9/25/85	European
73	EP0174783	3/19/86	European
74	EP0234521	9/2/87	European
75	EP0244059	11/4/87	European
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78	EP0274691	7/20/88	European
79	EP0280759	9/7/88	European
80	EP0282876	9/21/88	European
81	EP0309096	3/29/89	European
82	EP0314850	5/10/89	European
83	EP0316911	5/24/89	European
84	EP0317248	5/24/89	European
85	EP0335430	10/4/89	European

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86	EP0342554	11/23/89	European
87	EP0375101	6/27/90	European
88	EP0406437	1/9/91	European
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90	EP0440865	8/14/91	European
91	EP0490705	6/17/92	European
92	EP049104	4/7/82	European
93	EP0493704	4/7/82	European
94	EP0571155	11/24/93	European
95	EP0620570	10/19/94	European
96	EP0642027	3/8/95	European
97	EP0671632	9/13/95	European
98	EP0676777	10/11/95	European
99	EP0677915	10/18/95	European
100	EP0684679	11/29/95	European
101	EP0684682	11/29/95	European
102	EP0695019	1/31/96	European
103	EP0732787	9/18/96	European
104	EP0738034	10/16/96	European
105	EP0740315	10/30/96	European
106	EP0751605	1/2/97	European
107	EP0780926	6/25/97	European
108	EP078908	5/18/83	European
109	EP0802542	10/22/97	European
110	FR1011924	4/23/49	France
111	FR1126975	3/11/55	France
112	FR1238795	7/6/59	France
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114	FR2251938	6/13/75	France
115	FR2305879	10/22/76	France
116	FR2376542	7/28/78	France
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122	FR841351	11/19/38	France
123	FR847899	12/22/38	France
124	GB1024583	3/30/66	United Kingdom
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133	GB1174659	12/17/69	United Kingdom
134	GB1236082	6/16/71	United Kingdom
135	GB123906	3/13/19	United Kingdom
136	GB1268770	3/29/72	United Kingdom

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137	GB1340983	12/19/73	United Kingdom
138	GB1341050	12/19/73	United Kingdom
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140	GB1395152	5/21/75	United Kingdom
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143	GB1438610	6/9/76	United Kingdom
144	GB1445284	8/11/76	United Kingdom
145	GB1479904	7/13/77	United Kingdom
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150	GB1574796	9/10/80	United Kingdom
151	GB2000625	1/10/79	United Kingdom
152	GB2022327	12/12/79	United Kingdom
153	GB2025150	1/16/80	United Kingdom
154	GB2034101	5/29/80	United Kingdom
155	GB2046142	11/12/79	United Kingdom
156	GB2070470	9/8/81	United Kingdom
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158	GB2081523	2/17/82	United Kingdom
159	GB2099635	12/8/82	United Kingdom
160	GB2105925	3/30/83	United Kingdom
161	GB2106306	4/7/83	United Kingdom
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186	GB870583	6/14/61	United Kingdom
187	GB913386	12/19/62	United Kingdom

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(Corrected Listing of Original List)

188	GB965741	8/6/64	United Kingdom
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236	WO9518058	7/6/95	PCT
237	WO9522153	8/17/95	PCT
238	WO9524049	9/8/95	PCT

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ALTERNATE FORM PTO-1449
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239	WO9622606	7/25/96	PCT
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289	WO9829931	7/9/98	PCT

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ALTERNATE FORM PTO-1449
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339	WO9928919	6/10/99	PCT
340	WO9928921	6/10/99	PCT

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ALTERNATE FORM PTO-1449
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341	WO9928923	6/10/99	PCT
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366	WO9929024	6/10/99	PCT
367	WO9929026	6/10/99	PCT
368	WO9929029	6/10/99	PCT
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Subtotal	369		

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3	OD003	Elkraft teknisk Handbok. 2 Elmaskiner; A. Alfredsson et al: 1988. pp 121-123
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5	OD005	Ohne Transformator direkt ins Netz; Owman et al. ABB. AB: 2/8/99: pp48-51
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10	OD010	Manufacture and Testing of Roebel bars; P. Marti et al: 1960, Pub.86, Vol 8, pp 25-31
11	OD011	Hydroalternators of 110 to 220 kV Elektrotechn. Obz., Vol. 54, No. 3, ppl32-136 March 1975; A. Abramov

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12	OD012	Design Concepts for an Amorphous Metal Distribution Transformer; E. Boyd et al; IEEE 11/84
13	OD013	Neue Wege zum Bau zweipoliger Turbogeneratoren bis 2 GVA, 60kV Elektrotechnik und Maschinenbau Wien Janner 1972, Heft 1, Seite 1-11; G. Aichholzer
14	OD014	Optimizing designs of water-resistant magnet wire; V. Kuzenev et al; Elektrotechnika, Vol 59, No 12, pp35-40, 1988
15	OD015	Zur Entwicklung der Tauchpumpenmotoren; A. Schanz; KSB, pp19-24
16	OD016	Direct Generation of alternating current at high voltages; R. Parsons; IEEE Journal, Vol 67 #393, 1/15/29; pp1065-1080
17	OD017	Stopfbachlose Umwalzpumpen- ein wichtiges Element im modernen Kraftwerkbau; H. Holz, KSB 1, pp13-19, 1960
18	OD018	Zur Geschichte der Brown Boveri-Synchron-Maschinen; Vierzig Jahre Generatorbau; Jan-Feb 1931 pp15-39
19	OD019	Technik und Anwendung moderner Tauchpumpen; A. Heumann; 1987
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	41	OD042	Cloth-transformer with divided windings and tension annealed amorphous wire; T. Yammamoto et al; IEEE Translation Journal on Magnetics in Japan Vol 4, No. 9 Sept. 1989
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Subtotal	43		
GRAND TOTAL	671		

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INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PT. 49

Docket Number:

Application Number

Issue 2: dated 02/21/00

Applicant(s):

Filing Date:

Group Art Unit:

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	1	US 4,292,558	9/29/1981	Carl Flick et al			
	2	US 4,556,316	4/7/1987	Hans-Juergen Meltsch			
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INFORMATION DISCLOSURE CITATION
ALTERNATE FORM PTO-1449

Issue2: dated 02/21/00

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
1		GB 1,319,257	6/6/1973	Anders R. Andersson et al		
2		GB 1,322,433	7/4/1973	Siemens Aktiengesellschaft		
3		GB 2,070,341	9/3/1981	Hans-Georg Raschbichler et al		
4		WO 98/20598	5/14/1998	Jan-Anders Karlfeldtsqatan et al		
5		WO 98/20602	5/14/1998	Soren Berggren		
6		WO 98/34239	8/6/1998	Gunnar Steneorpsqatan et al		
7		WO 99/28922	6/10/1999	Thorsten Schutte et al		
8		WO 99/29005	6/10/1999	Mats Leijon et al		
9		WO 99/29023	6/10/1999	Peter Carstensen et al		
10		WO 99/29025	6/10/1999	Mats Leijon et al		
11		EP 0056580 A1	7/28/1982	Jacobus F.H. Van der Vegt		
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